



# 2171  
#3  
BT  
9-13-02

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re application of  
NAGRAL, et al.

Application. No.: 09/880,393

Filed: June 13, 2001

Title: **INFORMATION STORAGE AND RETRIEVAL  
SYSTEM FOR STORING AND RETRIEVING  
THE VISUAL FORM OF INFORMATION FROM  
AN APPLICATION IN A DATABASE**

Art Unit: 2171

Examiner: To be assigned

Docket No.: NGM-00102

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Technology Center 2100

**Certificate of First Class Mailing**

I, do hereby certify that the foregoing documents are being deposited with the United States Postal with First Class Mail, postage prepaid, "Post Office to Addressee", in an envelope addressed to the Commissioner for Patents, Washington, D.C. 20231 on this date of August 28, 2002.

  
Name: Tracey A. Newell

**INFORMATION DISCLOSURE STATEMENT**

Commissioner for Patents  
Washington, D.C. 20231

Sir:

Submitted herewith on Form PTO-1449 is a listing of documents known to Applicant and/or their attorney in compliance with the requirements of 37 C.F.R. 1.56. Copies of the documents are also being submitted.

Since this Information Disclosure Statement is being submitted prior to the date of a first Office Action no fee is due.

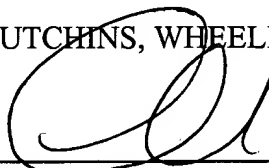
The Examiner is respectfully requested to initial the space adjacent to each document on the PTO-1449 form and return a copy of the PTO-1449 form to confirm that these documents have been considered by the Examiner and made of record in this application.

Although we believe that we have appropriately provided for any fees due in connection with this submission, the Commissioner is authorized to credit any overpayment or charge any deficiencies to/from our **Deposit Account No. 501136**. Two originally-executed copies of this form are being submitted.

Should there be any questions after reviewing this paper, the Examiner is invited to contact the undersigned at (617) 951-6661.

Respectfully submitted,

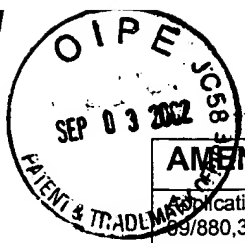
HUTCHINS, WHEELER & DITTMAR



August 28, 2002

Date

Anne E. Saturnelli  
Registration No. 41,290  
Patent Group  
Hutchins, Wheeler & Dittmar  
101 Federal Street  
Boston, Massachusetts 02110-1804



AMENDMENT TRANSMITTAL LETTER

Docket Number  
NGM-00102

Application Number  
09/880,393

Filing Date  
June 13, 2001

Examiner  
To be assigned.

Group Art Unit  
2171

Invention Title: INFORMATION STORAGE AND RETRIEVAL SYSTEM FOR STORING AND RETRIEVING THE VISUAL FORM OF THE INFORMATION FROM AN APPLICATION IN A DATABASE

TO THE COMMISSIONER FOR PATENTS

Transmitted herewith is a Preliminary amendment in the above-identified application, including:

- (X) Third Preliminary Amendment
- (X) Information Disclosure Statement and PTO-1449 Form with References
- (X) Return Receipt Postcard

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CLAIMS AS AMENDED

	(1)		(2)	(3)		
	CLAIMS REMAINING AFTER AMENDMENT		HIGHEST NUMBER PREVIOUSLY PAID FOR	PRESENT NUMBER EXTRA	RATE	FEE
TOTAL CLAIMS	42	minus	33	9	x \$18	\$ 162.00
INDEPENDENT CLAIMS	2	minus	3	0	x \$84	\$ .00
MULTIPLE DEPENDENT CLAIM ADDED					\$280	
					TOTAL	\$ 162.00
If applicant has small entity status under 37 CFR 1.9 and 1.27, then divide total fee by 2, and enter amount here.			SMALL ENTITY TOTAL		\$ 0.00	

\* If the entry in column 1 is less than the entry in column 2, write "0" in column 3.  
\*\* If the highest number previously paid for IN THIS SPACE is less than 20, enter "20."  
\*\*\* If the highest number previously paid for IN THIS SPACE is less than 3, enter "3."  
The "highest number previously paid for" (total or independent) is the highest number found in the appropriate box in column 1.

- ( ) Please charge **Deposit Account Number 501136** in the amount of \$ 00. A duplicate copy of this sheet is enclosed.
- (X) A check in the amount of \$ 162.00 to cover the filing fee is enclosed.
- (X) Please credit any overpayment and/or charge any additional filing fees required under 37 CFR §§ 1.16 and 1.17 to our **Deposit Account Number 501136**.

Anne E. Saturnelli, Reg. No. 41,290

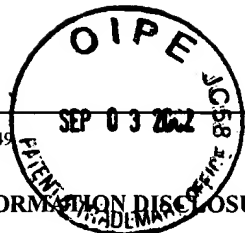
I hereby certify that this correspondence is being deposited with the United States Postal Service as First Class Mailing in an envelope addressed to: Commissioner for Patents, Washington, D.C. 20231, on August 28, 2002.

Tracey Newell

Date: August 28, 2002

(10-95)

Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE



Form PTO-1449	Docket Number (Optional) NGM-00102	Application Number 09/880,393
<b>INFORMATION DISCLOSURE CITATION</b> <b>IN AN APPLICATION</b> <i>(Use several sheets if necessary)</i>		<b>RECEIVED</b> <b>SEP 05 2002</b> <b>Technology Center 2100</b>

Applicant Nagral, et al.

Filing Date June 13, 2001

Group Art Unit 2171

**U.S. PATENT DOCUMENTS**

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	A1	4,800,510	01/24/89	Vinberg et al.		07/31/85
	A2	4,843,569	06/27/89	Sawada et al.		09/22/87
	A3	4,852,019	07/25/89	Vinberg et al.		01/31/86
	A4	4,933,880	06/12/90	Borgendale et al.		06/15/88
	A5	4,941,125	07/10/90	Boyne		08/01/84
	A6	5,060,135	10/22/91	Levine et al.		11/01/88
	A7	5,083,262	01/21/92	Haff, Jr.		09/27/90
	A8	5,086,408	02/04/92	Sakata		05/10/88
	A9	5,119,465	06/02/92	Jack et al.		06/19/89
	A10	5,119,492	06/02/92	Shimizu et al.		05/13/88
	A11	5,231,578	07/27/93	Levin et al.		11/13/90
	A12	5,321,831	06/14/94	Hirose		10/30/90
	A13	5,339,409	08/16/94	Sakuragi		12/26/90
	A14	5,353,397	10/04/94	Yokoyama et al.		02/15/90
	A15	5,379,376	01/03/95	Bednowitz		06/04/90

**FOREIGN PATENT DOCUMENTS**

DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	Translation	
					YES	NO
B1	EP 0 961 211 A2	01/12/99	EP			

**OTHER DOCUMENTS***(Including author, Title, Date, Pertinent Pages, Etc.)*

C1	Adobe Acrobat "Classroom in a Book" (007144-7445)
C2	Design Interactive Documents with Adobe and Acrobat Pro (007455-7897)
C3	Product Information for MetaViewer Print Capture (SSI 009707-009709)
C4	Product Information for Metafile - The Content Database (SSI 009710-009714)
C5	Product Information for Metafile Information Retrieval (SSI 009715-SSI009722)
C6	Product Information for The Metafile Warehouse, available at <a href="http://mv.metafile.com/warehouse.shtml">http://mv.metafile.com/warehouse.shtml</a> . (SSI 009723-009730)
C7	Product Information for MetaViewer ENTERPRISE™ Document Imaging (SSI 009731-009736)
C8	Company Information for Metafile Information Systems, Inc., available at <a href="http://mv.metafile.com">http://mv.metafile.com</a> . (SSI009737)
C9	Article - "Metafile Adds Internet Client Interface", available at <a href="http://esj.com/midrange/archives/article.asp?ID=8139824750PM">http://esj.com/midrange/archives/article.asp?ID=8139824750PM</a> . (August 17, 1998). (SSI 009738)

EXAMINER DATE CONSIDERED

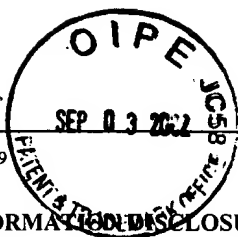
EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP § 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to the applicant.

Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE



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<b>U.S. PATENT DOCUMENTS</b>					
EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	FILING DATE IF APPROPRIATE
	A16 5,404,435	04/04/95	Rosenbaum		02/14/94
	A17 5,432,894	07/11/95	Funaki		08/21/92
	A18 5,448,692	09/05/95	Ohta		03/27/92
	A19 5,452,369	09/19/95	Lionti et al.		10/25/93
	A20 5,517,605	05/14/96	Wolf		08/11/93
	A21 5,519,818	05/21/96	Peterson		09/19/94
	A22 5,521,722	05/28/96	Colvill et al.		01/31/91
	A23 5,524,202	06/04/96	Yokohama		06/06/95
	A24 5,528,734	06/18/96	Sanchez		05/31/94
	A25 5,546,390	08/13/96	Stone		12/29/94
	A26 5,546,572	08/13/96	Seto et al.		08/25/92
	A27 5,561,796	10/01/96	Sakamoto et al.		03/14/95
	A28 5,572,601	11/05/96	Bloomberg		10/19/94
	A29 5,577,188	11/19/96	Zhu		05/31/94
<b>FOREIGN PATENT DOCUMENTS</b>					
	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	Translation
					YES NO
<b>OTHER DOCUMENTS</b> <i>(Including author, Title, Date, Pertinent Pages, Etc.)</i>					
C10	"Turbochrom Results Manager User's Guide", Desktop Data Systems, Perkin Elmer, (May 1994), (SS 002334-002537).				
C11	User's Guide, "Microsoft Windows & MS-DOS 6 Operating Systems Plus Enhanced Tools For Sale Only With a New PC", (SSI 002122-002127).				
C12	"Important Dates in Microsoft's History", Dave & Sarah Computing, <a href="http://davesworld.click2site.com/ms_history.htm">http://davesworld.click2site.com/ms_history.htm</a> , (September 21, 2001), (SSI 002128-002130).				
C13	"About Windows 95 Printer Drivers", Chapter 1: Printer Driver Overview, (SSI 002131-002257).				
C14	"Introduction to Virtual Devices", Chapter 1: Virtual Devices, (SSI 002258-002333).				
C15	"Why settle for data management when you can have Knowledge Engineering?", Scientific Software, Inc., (SSI 002565-2567).				
C16	O'Dea, Kathleen; "Software Manages Your Lab's Data", Tech Report Drug Discovery & Development, <a href="http://www.dddmag.com">www.dddmag.com</a> , (June/July 2000) (SSI 002568-2569)				
C17	"Software Manages Your Lab's Data", R&D Software for Scientists, <a href="http://www.rdman.com">www.rdman.com</a> , (June 2000) (SSI 002570-2573).				
C18	"Turning Information Into Knowledge... Anytime, Anywhere.", CyberLAB, (SSI 002580-002587).				
EXAMINER	DATE CONSIDERED				
EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP § 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to the applicant.					

Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE



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Applicant Nagral, et al.

Technology Center 2100

Filing Date June 13, 2001

Group Art Unit 2171

**U.S. PATENT DOCUMENTS**

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	A30 5,579,471	11/26/96	Barber et al.			03/23/94
	A31 5,611,036	03/11/97	Berend et al.			09/23/94
	A32 5,625,833	04/29/97	Levine et al.			03/20/95
	A33 5,630,041	05/13/97	Mills et al.			06/23/95
	A34 5,630,121	05/13/97	Braden-Harder et al.			02/02/93
	A35 5,652,881	07/29/97	Takahashi et al.			11/23/94
	A36 5,659,742	08/19/97	Beattie et al.			09/15/95
	A37 5,664,127	09/02/97	Anderson et al.			02/28/96
	A38 5,664,182	09/2/97	Nierenberg et al.			09/18/95
	A39 5,687,254	11/11/97	Poon et al.			06/06/94
	A40 5,689,287	11/18/97	Mackinlay et al.			01/22/96
	A41 5,699,492	12/16/97	Karaki			10/13/95
	A42 5,737,442	04/07/98	Alam			10/20/95
	A43 5,781,714	07/14/98	Collins et al.			09/12/95

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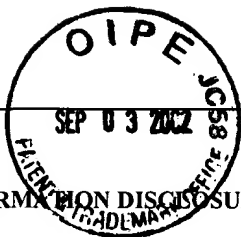
**OTHER DOCUMENTS***(Including author, Title, Date, Pertinent Pages, Etc.)*

C19	"Data... Anywhere, Anytime", CyberLab, (SSI 002588-002589).
C20	"Information... Anywhere, Anytime", CyberLab, (SSI 002590-002591).
C21	"Why settle for data management...", Scientific Software Inc., (SSI 002592-002593).
C22	"Information... Anywhere, Anytime", CyberLab, (SSI 002574-002579).
C23	"Harness Your Data Monster.", CyberLab Information...Anywhere, Anytime., www.scisw.com, (SSI 002596-002597).
C24	"Introducing... CyberLAB!", CyberLAB, Seminar Agenda, (SSI 002598-002599).
C25	"The WORLD'S FIRST Web-based Knowledge Management System.", CyberLAB, (SSI 002600-002603).
C26	"Intranet-Based Data Manager", Scientific Software, Inc., Press Release, (SSI 002604-002613).
C27	Article - "Internet Alters Imaging Picture", available at <a href="http://www.govtech.net/magazine/gt/nov/nov1996-imaging/nov1996-imaging.shtml">http://www.govtech.net/magazine/gt/nov/nov1996-imaging/nov1996-imaging.shtml</a> (November 1996). (SSI 009739-009742)

EXAMINER	DATE CONSIDERED
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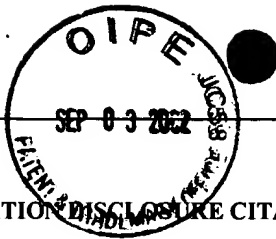
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<b>U.S. PATENT DOCUMENTS</b>						
EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	A44 5,802,361	09/01/98	Wang et al.			09/30/94
	A45 5,857,064	01/05/99	deSilva			10/07/97
	A46 5,893,908	04/13/99	Cullen et al.			11/21/96
	A47 5,899,999	05/04/99	De Bonet			10/16/96
	A48 5,933,823	08/03/99	Cullen et al.			03/01/96
	A49 5,956,422	09/21/99	Alam			02/21/98
	A50 5,970,216	10/19/99	Satoshi Tanio et al.			
	A51 5,978,477	11/02/99	Hull et al.			11/21/96
	A52 5,983,237	11/09/99	Jain et al.			08/21/97
	A53 5,987,456	11/16/99	Ravela et al.			10/28/97
	A54 6,003,069	12/14/99	Cavill			12/16/97
	A55 6,006,226	12/21/99	Cullen et al.			09/24/97
	A56 6,020,970	02/01/00	Erickson et al.			10/27/98
	A57 6,031,623	02/29/00	Smith et al.			12/11/97
	A58 6,038,309	03/14/00	Ram et al.			05/30/97
<b>FOREIGN PATENT DOCUMENTS</b>						
	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	Translation YES NO
<b>OTHER DOCUMENTS</b> <i>(Including author, Title, Date, Pertinent Pages, Etc.)</i>						
C28	Product Information for PrintStore Capture (SSI 009743)					
C29	Product Data Sheet for MetaViewer Enterprise (V5.0, May 2000) (SSI 009744-009747)					
C30	Product Data Sheet for MetaViewer Remote Client (May 2000) (SSI 009748-009749)					
C31	Product Data Sheet for MetaViewer (V8.3, December 2000) (SSI 009750-009753)					
C32	Article – “Companies Rush to COLD at a Feverish Pitch”, available at <a href="http://www.transformmag.com/db_area/archs/1996/November/4_1300.htm">http://www.transformmag.com/db_area/archs/1996/November/4_1300.htm</a> (November 1996). (SSI 009754-009767)					
C33	Article – “Image Management Brings Order to the Chaos”, available at <a href="http://www.transformmag.com/db_area/archs/1998/May/4_1081.htm">http://www.transformmag.com/db_area/archs/1998/May/4_1081.htm</a> (May 1998) (SSI 009768-009774)					
C34	Product Information for ArcItUp by BroadGun Software, available at <a href="http://broadgun.com/arcit/index.htm">http://broadgun.com/arcit/index.htm</a> (2000) (SSI 009775-009779)					
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Form PTO-1449

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**INFORMATION DISCLOSURE CITATION  
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(Use several sheets if necessary)

Applicant Nagral, et al.

Filing Date June 13, 2001

Group Art Unit 2171

**U.S. PATENT DOCUMENTS**

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	A59 6,072,904	06/06/00	Desai et al.			12/31/97
	A60 6,147,767	11/14/00	Petteruti et al.			09/05/97
	A61 6,152,369	11/28/00	Wilz, Sr. et al.			08/04/97
	A62 6,199,073 B1	03/06/01	Peairs et al.			09/26/97

**FOREIGN PATENT DOCUMENTS**

DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	Translation	
					YES	NO

**OTHER DOCUMENTS**

(Including author, Title, Date, Pertinent Pages, Etc.)

C35	Product Information for FinePrint, available at <a href="http://www.fineprint.com/software/fineprint/standard/index.html">http://www.fineprint.com/software/fineprint/standard/index.html</a> . (SSI 009787-009788)
C36	Article – "COLD Part II Brawny Systems Add Brains", available at <a href="http://www.transformmag.com/db_area/archs/1998/July/COLD_Part_4_1403.htm">http://www.transformmag.com/db_area/archs/1998/July/COLD_Part_4_1403.htm</a> (July 1998) (SSI 009780-009786)
C37	Imaging Magazine's Holiday Shopper's Showcase (December 1995) (SSI 009789-009797) [what is this?]
C38	EKCO Group Information (Press release??) (June 1996) (SSI 009798-009799)
C39	Article – "Booths to Aim for at AIIM", available at <a href="http://www.transformmag.com">www.transformmag.com</a> (March 1997). (SSI 009800-009806)
C40	Document – "Make Images Accessible on an Intranet" (November 1997) (SSI 009807-009810) [what is this and where did it come from?]
C41	Article – "50 Must-see Products at AIIM", available at <a href="http://www.transformmag.com/db_area/archs/1998/May/4_1076.htm">http://www.transformmag.com/db_area/archs/1998/May/4_1076.htm</a> (May 1998) (SSI 009811-009826)
C42	Document – "Imaging and Document Solutions" (June 1999) (SSI 009827-009832)

EXAMINER

DATE CONSIDERED

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<b>OTHER DOCUMENTS</b> <i>(Including author, Title, Date, Pertinent Pages, Etc.)</i>					
	C43	Talk, News, Upgrades & New Products from TAL Technologies, vol. 4, no. 1, Fall 1996.			
	C44	Product Description of Software Wedge of TAL Technologies, 1996.			
	C45	Product Offering from Tools and Techniques, Data Junction for Windows, Cambio for Windows and DJXL 1997.			
	C46	Product Offering from Tools and Techniques, New Data Conversion Solutions from T&T, 1997.			
	C47	Description of Documentum WorkSpace, Robust Functionality for Document Coordinators, mid 1996.			
	C48	Description of Documentum Enterprise Document Management System, A Strategic Infrastructure for Knowledge Chain Solutions, mid 1996.			
	C49	Monarch for Windows 2.0 [on-line]. Monarch Home Page, Datawatch, late 1996. Retrieved from the internet <a href="http://www.datawatch.com/monarch.shtml">http://www.datawatch.com/monarch.shtml</a> .			
	C50	American Laboratory, "Incorporating Chromatograms into Electronic Documents," Oct. 1996, by Tom Jupille, Kari Hallenburg, and Bob Albrecht, pp. 19-22.			
	C51	Chrom Merge, Insert Chromatograms into Windows Applications, User Manual, LC Resources, Inc. 1995.			
	C52	Chrom Merge Advertisement, LC Resources, Inc. 1995.			
	C53	Resources for Chromatography, Spring 1997.			
	C54	Resources for Chromatography, Fall 1996.			
	C55	"Docu Vault Archive," <a href="http://www.cypressdelivers.com">www.cypressdelivers.com</a> , 2000.			
	C56	"Information Systems Offers Integrated Document, Output Management," PCWEEK Online, May 28, 1998.			
	C57	Output Management: It's More Than Just Managing Printers, <a href="http://www.cypressdelivers.com">www.cypressdelivers.com</a> , 1998.			
	C58	"Managing and Delivering Knowledge in Spite of Disparity", CYPRESS CORP. WHITE PAPER, <a href="http://www.cypressdelivers.com">www.cypressdelivers.com</a> , 1998.			
	C59	"Cypress Web Challenges Acrobat for Enterprise Archiving, Searches, Retrieval" <a href="http://www.interex.org">www.interex.org</a> , 2000.			
	C60	"Information Systems offers integrated document, output management," <a href="http://www.zdnet.com">www.zdnet.com</a> , May 28, 1998.			
	C61	OS/2, 2.0 Presentation Manager Graphics Programming Guide, XP00210699-IBM Corp., pp.18-1 - 18-8, 1992.			
	C62	"General Scheme to Capture Window Objects for Reuse," IBM Technical Disclosure Bulletin, vol 38, No. 10, Oct. 1995.			
	C63	Petzold, "Environments-Metafile Support Under The OS 2 Graphics Programming Interface," PC Magazine, pp. 459, 460, 462-465, Sep. 25, 1990.			
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